

Request for Records Disposition Authority

Records Schedule Number	DAA-GRS-2021-0001
Schedule Status	Approved
Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record Group / Scheduling Group	General Records Schedules
Records Schedule applies to	Government-wide
Schedule Subject	GRS 5.6, Security Management Records
Internal agency concurrences will be provided	No
Background Information	<p>Security Management involves the physical protection of an organization's personnel, assets, and facilities (including security clearance management). Activities include: security operations for protecting agency facilities, staff, and property; managing personnel security; and insider threat protection.</p> <p>Conditions and Exclusions</p> <p>The following conditions and exclusions apply to all disposition authorities in this schedule.</p> <ol style="list-style-type: none">1. Agencies must offer any records covered by this schedule that were created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule, except records covered by items 120 and 130. Agencies must offer records covered by items 120 and 130 to the National Archives if they were created prior to January 1, 1939.2. This schedule does not apply to records related to Federal law enforcement activities and Federal correctional activities (including records about their uniforms and equipment, body camera records, criminal surveillance records, records on accidents or incidents in incarceration or detention facilities, etc). Law enforcement and correctional functions differ from security functions and include border and transportation security and immigration and naturalization services. For additional description of these activities, see the FAQs for GRS 5.6. Agencies engaging in these activities must schedule such records on agency-specific schedules.3. This schedule does not apply to records related to securing data and information systems. GRS 3.2, Information Systems Security Records, covers such records.

4. This schedule does not apply to records about protecting and accessing information. GRS 4.2, Information Access and Protection Records, covers such records.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	0	8	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2021-0001

Sequence Number	
1	Security management administrative records. Disposition Authority Number: DAA-GRS-2021-0001-0001
2	Security uniform and equipment tracking records. Disposition Authority Number: DAA-GRS-2021-0001-0002
3	Facility security management operations records. Disposition Authority Number: DAA-GRS-2021-0001-0003
4	Accident and incident records. Disposition Authority Number: DAA-GRS-2021-0001-0004
5	Personal identification credentials and cards.
5.1	Application and activation records. Disposition Authority Number: DAA-GRS-2021-0001-0005
6	Temporary and local facility identification and card access records. Disposition Authority Number: DAA-GRS-2021-0001-0006
7	Personnel security and access clearance records.
7.1	Records of people not issued clearances. Disposition Authority Number: DAA-GRS-2021-0001-0007
7.2	Records of people issued clearances. Disposition Authority Number: DAA-GRS-2021-0001-0008

Records Schedule Items

Sequence Number					
1	<p data-bbox="345 380 984 411">Security management administrative records.</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-GRS-2021-0001-0001</p> <p data-bbox="345 485 1495 674">Records about routine facility security, protective services, and personnel security program administration not covered elsewhere in this schedule. Includes: *administrative correspondence *reports, including status reports on cleared individuals *staffing level and work planning assessments, such as guard assignment records *administrative subject files</p> <p data-bbox="345 695 919 726">Final Disposition Temporary</p> <p data-bbox="345 747 849 779">Item Status Active</p> <p data-bbox="345 800 818 831">Is this item media neutral? Yes</p> <p data-bbox="345 852 818 978">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="345 999 818 1083">Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" data-bbox="345 1125 1529 1230"> <tr> <th data-bbox="345 1125 937 1167">Manual Citation</th><th data-bbox="937 1125 1529 1167">Manual Title</th></tr> <tr> <td data-bbox="345 1167 937 1230">GRS 5.6, item 010</td><td data-bbox="937 1167 1529 1230"></td></tr> </table> <p data-bbox="345 1262 1149 1325">GRS or Superseded Authority Citation DAA-GRS-2017-0006-0001</p> <p data-bbox="345 1356 659 1388">Disposition Instruction</p> <p data-bbox="345 1419 1446 1493">Retention Period Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <p data-bbox="345 1524 656 1556">Additional Information</p> <p data-bbox="345 1587 951 1619">GAO Approval Not Required</p>	Manual Citation	Manual Title	GRS 5.6, item 010	
Manual Citation	Manual Title				
GRS 5.6, item 010					
2	<p data-bbox="345 1650 1040 1682">Security uniform and equipment tracking records.</p> <p data-bbox="345 1703 1154 1734">Disposition Authority Number DAA-GRS-2021-0001-0002</p> <p data-bbox="345 1755 1503 1942">Records tracking uniforms and equipment issued to security management personnel, including: *firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) *communication devices issued to security personnel, such as mobile radios and walkie-talkies *body armor such as bullet-proof vests *police baton and holder *handcuffs and keys Exclusion:</p>				

Does not apply to uniform and equipment tracking records for Federal law enforcement and correctional officers. Federal law enforcement includes border and transportation security and immigration and naturalization services.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 030	

GRS or Superseded Authority Citation DAA-GRS-2017-0006-0004

Disposition Instruction

Retention Period Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Facility security management operations records.

Disposition Authority Number DAA-GRS-2021-0001-0003

Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes: *control center key or code records *registers of patrol and alarm services *service reports on interruptions and tests *emergency alarm contact call lists *temporary identification cards *correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date *round and perimeter check reports, including facility patrol tour data *surveillance records that do not document accidents or incidents **recordings of protective mobile radio transmissions **video surveillance recordings **closed circuit television (CCTV) records *door slip summaries Exclusions: The following records are excluded and must be scheduled on agency-specific schedules: 1. Records related to Federal law enforcement and Federal correctional activities, such as body camera recordings and criminal surveillance records. Federal law enforcement includes

border and transportation security and immigration and naturalization services.
2. Records related to accident or incident investigations (see note 1 below).
Surveillance recordings that include accidents or incidents may be destroyed using this disposition authority provided a copy is retained in the accident or incident investigation records. Notes: 1. Item 100 covers records of accidents and incidents. 2. Items 110 and 111 cover records of visitor processing.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 090	

GRS or Superseded Authority Citation DAA-GRS-2017-0006-0012

Disposition Instruction

Retention Period Destroy when 30 days old, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Accident and incident records.

Disposition Authority Number DAA-GRS-2021-0001-0004

Records documenting accidents and incidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, and air), and property used by Federal agencies. Includes: *statements of witnesses *warning notices *records about arrests, commitments, and traffic violations *accident and incident reports *law enforcement agency requests for information Exclusions: 1. Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by Federal agencies, including leased aircraft used by Federal agencies. The FAA and NTSB cover these records under agency-specific schedules. 2. Records related to Federal law enforcement and Federal correctional activities. Federal law enforcement includes border and transportation security and immigration and naturalization services. Agencies that create these records must schedule them on agency-specific schedules. 3.

Records of accidents or incidents in Federal facilities involved in incarcerating or detaining individuals. Agencies that create these records must schedule them on agency-specific schedules. 4. Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records. 5. Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 100	

GRS or Superseded Authority Citation DAA-GRS-2017-0006-0013

Disposition Instruction

Retention Period Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.

Additional Information

GAO Approval Not Required

Personal identification credentials and cards. Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials. Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542. Agencies must schedule these records on agency-specific schedules.

5.1

Application and activation records.

Disposition Authority Number **DAA-GRS-2021-0001-0005**

Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes: *application for identification card *a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected *lost or stolen credential documentation or police report Note 1: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority. Note 2: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.6, item 120	

GRS or Superseded Authority Citation **DAA-GRS-2017-0006-0016**

Disposition Instruction

Retention Period **Destroy 6 years after the end of an employee or contractor's tenure, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

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Temporary and local facility identification and card access records.

Disposition Authority Number **DAA-GRS-2021-0001-0006**

Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes: *temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet

the FIPS 201 Standard requirements for PIV issuance *supplemental cards issued to access elevators *personnel identification records stored in an identity management system for temporary card issuance *parking permits Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 130	

GRS or Superseded Authority Citation DAA-GRS-2017-0006-0018

Disposition Instruction

Retention Period Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Personnel security and access clearance records. Records about security clearances, and other clearances for access to Government facilities or to controlled unclassified information, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: *questionnaires *summaries of reports prepared by the investigating agency *documentation of agency adjudication process and final determination Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.

Records of people not issued clearances.

Disposition Authority Number DAA-GRS-2021-0001-0007

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7.1

Includes case files of applicants not hired. Exclusion: Copies of investigative reports covered in items 170 and 171.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 5.6, item 180	

GRS or Superseded Authority Citation DAA-GRS-2017-0006-0024

Disposition Instruction

Retention Period Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Records of people issued clearances.

Disposition Authority Number DAA-GRS-2021-0001-0008

Exclusion: Copies of investigative reports covered in items 170 and 171.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title

7.2

GRS 5.6, item 181	
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GRS or Superseded Authority
Citation

DAA-GRS-2017-0006-0025

Disposition Instruction

Retention Period

Destroy 5 years after employee or contractor
relationship ends, but longer retention is authorized if
required for business use.

Additional Information

GAO Approval

Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/07/2020	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/23/2021	Submit for Concurrence	Andrea Riley	Supervisor, General Records Schedule Team	National Archives and Records Administration - Records Management Services
03/26/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/02/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
04/05/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist